



BOX MISSING PARTS  
PATENT  
0020-4954P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: INOUE et al. Conf.: 6272  
Appl. No.: 10/054,789 Group: 1642  
Filed: January 25, 2002 Examiner: UNASSIGNED  
For: METHOD FOR INDUCING DIFFERENTIATION OF  
EMBRYONIC STEM CELLS INTO FUNCTIONING  
CELLS

**THIS IS NOT A NEW PATENT APPLICATION**

LETTER SUBMITTING DOCUMENTS  
FOR COMPLETION OF AN APPLICATION  
PURSUANT TO 37 C.F.R. § 1.53(f) and/or § 1.53(d)

**BOX MISSING PARTS**

Assistant Commissioner for Patents  
Washington, DC 20231

May 15, 2002

Sir:

The application papers for the above-identified application were originally filed on January 25, 2002 and the application was assigned Appl. No. 10/054,789.

**DOCUMENTATION**

- ☒ Under the provisions of 37 C.F.R. §§ 1.41(c) and 1.53(f), attached hereto is the executed Declaration of the inventor(s) (☒ original ☐ photocopy), necessary for completing the filing requirements in connection with the above-identified application.
- ☐ Under the provisions of 37 C.F.R. §§ 1.41(c) and 1.53(f), attached hereto is the executed Declaration that was attached to the specification at the time of execution. The attached

specification is a true copy of the specification that was filed in the U.S. Patent and Trademark office on January 25, 2002, including any amendments thereto (if applicable) filed on even date therewith.

☒ The undersigned hereby declares that "Attorney Docket No. 0020-4954P on page 1 of the attached inventors' Declaration, corresponds to Appl. No. 10/054,789, filed January 25, 2002, entitled "METHOD FOR INDUCING DIFFERENTIATION OF EMBRYONIC STEM CELLS INTO FUNCTIONING CELLS."

☐ Attached are \_\_\_\_\_ ( ) sheet(s) of formal drawings.

☒ Attached is a copy of the Notice to File Missing Parts of Nonprovisional Application.

☐ Attached is an English language translation of the above-identified application that was filed in a foreign language.

☐ See the attached Translator's Verification; or

☐ The undersigned states that the English translation attached hereto is a true and correct translation of the application as originally filed in a foreign language.

☐ Applicant claims small entity status under 37 C.F.R. § 1.27.

☒ Submitted concurrently herewith **under separate cover** for recording is an Assignment.

**FEES**

The Government Filing Surcharge(s) (37 C.F.R. § 1.16(e) and/or § 1.17(k)) and the basic Government Filing Fee(s) (37 C.F.R. § 1.16(a)-(d), if applicable) is/are attached hereto and calculated as follows:

- ☐ Basic Filing Fee(s): \$0.00 (37 C.F.R. § 1.16(a)-(d))
- ☒ The Government Filing Surcharge under 35 U.S.C. § 1.16(e)) for late filing of filing fee, oath and/or declaration:
  - ☒ Large Entity - \$130.00
  - ☐ Small Entity - \$ 65.00)
- ☐ The Government Filing Surcharge under 37 C.F.R. § 1.17(i)) for filing of translation of non-English Specification in the amount of \$130.00:
  - ☐ was previously paid for concurrently with the filing of the application on .
  - ☐ is attached hereto.
- ☐ No extension fee is required because the undersigned has not yet received the Notice to File Missing Parts of Nonprovisional Application. However, if for some reason it is determined that an extension of time is necessary, applicant hereby respectfully petitions for an extension of time for the filing of the present paper in accordance with the provisions of 37 C.F.R. § 1.136 and 37 C.F.R. § 1.17.
- ☐ Applicant hereby respectfully petitions for a ( ) month(s) extension of time for the filing of the present paper in accordance with the provisions of 37 C.F.R. § 1.136 and 37 C.F.R. § 1.17. The required fee of \$0.00 is attached hereto.

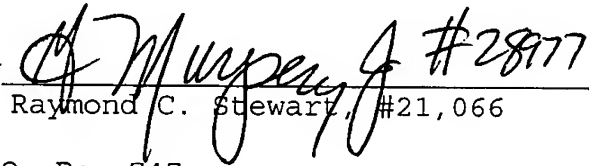
- ☒ Check(s) in the amount of \$130.00 to cover the basic filing fee(s), surcharge fee(s), and any extension of time fee(s) (if applicable) is/are enclosed.
- ☐ Please charge Deposit Account No. 02-2448 in the amount of \$0.00. A triplicate copy of this transmittal form is enclosed.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By

 #28177

Raymond C. Stewart, #21,066

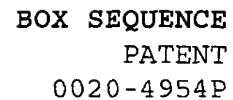
P.O. Box 747

Falls Church, VA 22040-0747

(703) 205-8000

RCS/PW/end  
0020-4954P

Attachments



IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Kazutomo Inoue et al. Conf.: 6272

Appl. No.: 10/054,789 Group: UNASSIGNED

Filed: January 25, 2002 Examiner: UNASSIGNED

For: METHOD FOR INDUCING DIFFERENTIATION OF  
EMBRYONIC STEM CELLS INTO FUNCTIONING  
CELLS

## SMALL ENTITY TRANSMITTAL FORM

Assistant Commissioner for Patents  
Washington, DC 20231

May 15, 2002

Sir:

Transmitted herewith is an amendment in the above-identified application.

- ☐ Applicant claims small entity status under 37 C.F.R. § 1.27.
- ☐ The enclosed document is being transmitted via the Certificate of Mailing provisions of 37 C.F.R. § 1.8.

The fee has been calculated as shown below:

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR		PRESENT EXTRA	RATE	ADDITIONAL FEE
TOTAL	14	-	20	=	0	\$ 9	\$0.00
INDEPENDENT	1	-	3	=	0	\$ 40	\$0.00
____ FIRST PRESENTATION OF A MULTIPLE CLAIM.						\$135	\$0.00
						TOTAL	\$0.00

- ☐ Petition for ( ) month(s) extension of time pursuant to 37 C.F.R. §§ 1.17 and 1.136(a). \$0.00 for the extension of time.
- ☒ No fee is required.
- ☐ A check in the amount of \$0.00 is enclosed.
- ☐ Please charge Deposit Account No. 02-2448 in the amount of \$0.00. This form is submitted in triplicate.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. §§1.16 or 1.17; particularly, extension of time fees.


Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By 

Raymond C. Stewart, #21,066

P.O. Box 747  
Falls Church, VA 22040-0747  
(703) 205-8000

  
RCS/PW/BCF  
0020-4954P

Attachment

MAY 15 2002

# 3



## UNITED STATES PATENT AND TRADEMARK OFFICE

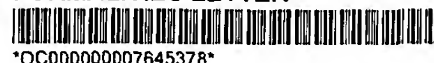
COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/054,789	01/25/2002	Kazutomo Inoue	0020-4954P

CONFIRMATION NO. 6272

2292  
BIRCH STEWART KOLASCH & BIRCH  
PO BOX 747  
FALLS CHURCH, VA 22040-0747

## FORMALITIES LETTER



\*OC000000007645378\*

Adjustment date: 06/27/2002 HPRASASO  
05/17/2002 DABRAHAI 00000041 10054789  
01 FC:105 -130.00 OP

Docketed ES

5-1502

Perfect &amp; Sequence Listing

Date Mailed: 03/15/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

05/17/2002 DABRAHAI 00000041 10054789  
01 FC:105 -130.00 OP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

06/27/2002 HPRASASO 00000006 10054789

01 FC:205

65.00 OP

For questions regarding compliance to these requirements, please contact:

Repln. Ref: 06/27/2002 HPRASASO 0013231000  
DB:022448 Name/Number: 10054789  
FC: 704 165. CR

- For Rules Interpretation, call (703) 308-4216
  - To Purchase PatentIn Software, call (703) 306-2600
  - For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)
- 

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY